

<u>Licensee Name</u>	<u>Type of License</u>	<u>Case No.</u>	<u>Primary Allegation(s)</u>	<u>Disposition</u>	<u>Effective Date</u>
Arthur J. Gallagher Insurance Services of New York	Producer	6493	Placed policies while unlicensed	Settlement Agreement: \$1,500 fine, cease & desist from violations	11/14/08
Asselin, Joseph Thomas, Sr.	Producer	4772	Failed to maintain the standards of trustworthiness and suitability	Settlement Agreement: License Revocation, cease & desist from all insurance activity	11/21/08
Bannett, Jonathan S.	Producer	6551	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$1,000 fine, cease & desist from violations	12/23/08
Barber, Robin E.	Producer	5652	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: Cease & desist from violations	10/16/08
Barton, Clinton W.	Producer	6537	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	11/20/08
Birtwhistle & Livingston, Inc.	Producer	6118	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$350 fine, cease & desist from violations	10/16/08
Brown & Brown Insurance Agency of Virginia, Inc.	Producer	6412	Placed policies while unlicensed	Settlement Agreement: \$200 fine, cease & desist from violations	12/01/08
Bruemmer, Paul T.	Producer	6424	Failed to maintain continuing education	Settlement Agreement: Cease & desist from violations	12/24/08
Chrisman, Gena Lynn	Producer	5630	Failed to timely report administrative action(s)	Settlement Agreement: Cease & desist from violations	11/05/08
Condon, Raymond Hassan	Producer	6534	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	10/08/08
Constitution Insurance Agency, Inc.	Producer	6330	Placed policies while unlicensed	Settlement Agreement: \$5,000 fine, cease & desist from violations	11/26/08
Cormio, Frank	Producer	6519A	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	11/05/08
CPM Insurance Services, Inc.	Producer	6574	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$750 fine, cease & desist from violations	11/14/08
Daniell-Sapp-Boorn Insurance Associates	Producer	6507	Placed policies while unlicensed	Settlement Agreement: \$200 fine, cease & desist from violations	10/23/08
Dobbs, Leigh	Producer	6530	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$750 fine, cease & desist from violations	11/28/08

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Eastern Premiere Group, Inc.	Producer	6154	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	11/10/08
Environmental Insurance Agency, Inc.	Producer	6443	Placed policies while unlicensed	Settlement Agreement: \$12,000 fine, cease & desist from violations	10/15/08
Goff, John Wayne	Producer	5214	Failed to timely report administrative action(s)	Administrative Decision: License Revocation, cease & desist from all insurance activity	11/19/08
Haddad, Randa R.	Producer	6483	Impersonation	Settlement Agreement: \$360 fine, cease & desist from violations	11/17/08
Infinex Insurance Agency of Massachusetts, Inc.	Producer	6042	Placed policies while unlicensed	Settlement Agreement: \$700 fine, cease & desist from violations	10/22/08
InsuranceOne Insurance Agency, Inc.	Producer	6465	Placed policies while unlicensed	Settlement Agreement: \$3,000 fine, cease & desist from violations	11/03/08
Jennings, John Francis	Producer	5463	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	10/07/08
Kleinhandler, David M.	Producer	6422	Failed to timely report administrative action(s)	Settlement Agreement: \$500 fine, cease & desist from violations	12/12/08
Klima, Keith A.	Producer	6145	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	10/17/08
Krauter & Co., LLC	Producer	6425	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine cease & desist from violations	10/27/08
Kuenster, Mary F.	Producer	6523	Failed to maintain resident state license	Settlement Agreement: License Revocation, cease & desist from all insurance activity	11/13/08
Lefebvre, Thomas G.	Producer	6433	Placed policies while unlicensed	Settlement Agreement: Cease & desist from violations	10/17/08
Malkin, David B.	Producer	5738	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: Cease & desist from violations	03/12/07
Maloney & Company, LLC	Producer	6414	Placed policies while unlicensed	Settlement Agreement: Cease & desist from violations	12/15/08
Montgomery, Derrick S.	Producer	6510	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$1,000 fine, cease & desist from violations	11/21/08
Moreau, Heath V.	Producer	6466	Failed to timely report administrative action(s)	Settlement Agreement: \$350 fine, cease & desist from violations	11/13/08

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Moschitto, Joseph D.	Producer	6470	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$750 fine, cease & desist from violations	10/07/08
Newberry, Sam H.	Producer	6383	Failed to timely report administrative action(s)	Settlement Agreement: Cease & desist from violations	11/28/08
Reidy, Brian James	Producer	6353	Impersonation	Settlement Agreement: \$750 fine, cease & desist from violations	12/15/08
Simmons, Catharine Budvarson	Producer	6535	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$750 fine, cease & desist from violations	12/03/08
South River Insurance Agency, Inc.	Producer	6394	Placed policies while unlicensed	Settlement Agreement: Cease & desist from violations	10/07/08
Spears, Candace Dorice	Producer	6387	Failed to timely report administrative action(s)	Settlement Agreement: \$500 fine, cease & desist from violations	10/02/08
Superior Access Ins. Services, Inc.	Producer	6540	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	11/13/08
Tlachac, Steven John	Producer	6578	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$1,000 fine, cease & desist from violations	12/31/08
VanSchoick, Dee, Jr.	Producer	6395	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	10/14/08
Vista Insurance Partners of Illinois, Inc.	Producer	6072	Placed policies while unlicensed	Settlement Agreement: \$50 fine, cease & desist from violations	11/24/08
Walsh, Thomas F.	Producer	6474	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$1,500 fine cease & desist from violations	11/10/08
Williams, Cheryl Denise	Producer	6012	Failed to timely report administrative action(s)	Administrative Decision: License Revocation, \$2,000 fine, cease & desist from all insurance activity	11/12/08
Winslow, Evans & Crocker Insurance Agency, Inc.	Producer	6536	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	10/23/08
Wright & Co. Insurance Agency a/k/a Wright & Co.	Producer	6364, 6521	Failed to timely report administrative action(s)	Settlement Agreement: \$500 fine, cease & desist from violations	10/08/08

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XN Financial Services, Inc.	Producer	6269	Placed policies while unlicensed	Settlement Agreement: \$150 fine, cease & desist from violations	11/17/08